

Request for Proposals Cognitive Self Change Program

Introduction:

The Vermont Department of Corrections (DOC) is seeking proposals for the operation of the Cognitive Self Change (CSC) Program in Vermont Correctional Facilities located in Springfield, Newport and the Self Direction Program for Women, currently located in St. Albans, Vermont.

Program Overview:

The Cognitive Self Change Program facility based is an eight to twelve month program delivered in collaboration with the Department of Corrections. The program targets criminal thinking and is a mandated program for eligible listed violent offenders. Currently, the facility based program has capacity of nine groups of eight men in Newport, sixteen men with sex offenses in Springfield and an average of twelve women in St. Albans.

Program Description:

The program receives referrals from the DOC facility caseworker.

The facility program uses Phase 1 curriculum which focuses on the acquisition and practice of cognitive restructuring skills which focus on the identification and remediation of thoughts correlated with illegal activity. The program is conducted in a group format. The groups of up to eight meet twice per week for fifty weeks annually. The program is currently co facilitated with DOC casework staff.

Objectives of services provided via the RFP include the following:

1. Reduction in the risk of recidivism through coordinated clinical and supervision strategies which target related behavioral risks correlated with offence pattern and other criminal activity.
2. Reduction in the risk of harm to both the community and any identified or potential victims through decrease in the frequency and intensity of the offenses by the participants
3. Improvement in participant functioning in major life areas (such as-work, family/personal interactions and leisure).
4. Provision of a viable collaborative criminal justice program model which addresses criminal risk

Specifications:

Program Services

The Contractor must be prepared to assume responsibility for the delivery of Cognitive Self Change program in facilities effective June 1, 2011

The Contractor will develop, implement, administer and participate in the evaluation of a clinically efficient, evidenced based correctional program which provides opportunity for delivery of a variety of services to the population. This model will incorporate interventions effective with correctional populations including motivational enhancement techniques, cognitive behavioral techniques.

The Program must include but is not limited to the provision of the following:

1. CSC program capacity for up to nine groups which meet twice per week for not less than 3 hours per week at Northern State, Newport; two and one half groups which meet at Southern State, Springfield and two groups of Self Direction (female version of CSC) currently at Northwest State, St. Albans (move to South Burlington is under consideration)..
2. Delivery of immediate and appropriate response to criminal behavior which may consist of a range of activities.
4. A provider network sufficient in clinical expertise, capacity, supervisory capacity and scope to meet the needs of offenders participating in the CSC Program.
6. An admission process in participation with designated DOC staff in which a narrative summary of the intake will be provided by the admitting provider.
7. A commitment plan developed in collaboration with the offender that has clear goals which are measurable and expressed in behavioral terms. This plan will be reviewed with the participant according to approved professional standards
8. Interventions utilizing evidenced based strategies consistent with the CSC model, which are known to have effectiveness within a correctional population.
9. A transition plan from facility to community based program, which will be developed and implemented in collaboration with the offender and the DOC supervising officer to include community based supports, and treatment referrals as indicated. Proposer will assist offenders to identify and develop a community based social support system which can assist them during and following transition from the program.

Administrative Services

The Contractor shall designate an Administrator or Program Director for the Vermont DOC who shall be the liaison between DOC's

Central Office and the Contractor. The Administrator must have a strong background and knowledge in Correctional programming and possess strong managerial skills. The Administrator will also participate in the following:

- ☐ Provision of support, information and program development assistance to local personnel to facilitate the accomplishment of all contract goals.
- ☐ Regular meetings with DOC's Program Services Director or designee to discuss services and contract issues.
- ☐ Coordinating with representatives of DOC the ongoing development implementation and delivery of consistent programs which provide offenders access to quality services in a timely manner.

Provision of consultation services to DOC upon request including but not limited to:

- A staffing plans,
- b. offender program development and evaluation

The Administrator will provide reports on a scheduled basis as determined by the contract (see section...Operational reports).

This contract will not be subject to any sub contracting without the written expressed review and approval of the Program Services Director.

Clinical Services

The Contractor will be responsible for the delivery of a program which provides services in a manner that is consistent with the philosophy and purpose of the Cognitive Self Change program.

- clinical supervision of Tapestry staff
- participation in program case management,
- collaboration with DOC to ensure continuity of care.
- Data collection of information relative to program participation sufficient to enable systematic program evaluation and outcome report products.
- Delivery of services which meet and maintain professional standards
- Coordination of program service delivery activities with the Vermont DOC Program Services Director and/or designee, including:
 - ☐ development of program plans
 - ☐ consultation with DOC probation and parole officers and facility caseworkers
 - ☐ clinical Case consultation

Treatment Records

1. Contractor shall maintain a treatment record consistent with Federal and State regulations and professional standards of practice. The program record will meet established professional standards.
2. Program records shall be maintained securely and in a confidential manner at all times.. An offender's program record will be available for reference during sessions. Documentation will be in a format determined by the Department, legible and completed with the date, time and place of the encounter. The provider's signature and credential will be recorded for each encounter.
3. Program records and reports are the property of DOC. Contractor will provide full and unrestricted access to and copies of the appropriate program record to the State within the scope of legal and regulatory requirements, and in accordance with DOC policies, procedures and directives which will subsume those of the contractor.

Operational Reports

Contractor shall prepare the following operational reports, using State-approved templates: Contractor shall submit operational reports including but not limited to the following:

Monthly

- Contractor Operational Reports –

The following data are required in the reports. The data should be organized by group and total aggregate. It should also reflect services scheduled versus services delivered.

- Number of participants and DOC unique identifier

- Program referrals and admissions processed in the period,
- Discharges,
- Suspensions and
- Terminations.
- Number of units of services rendered by major category of service
- Group session,
- Individual session,
- Treatment plan reviews,
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Staffing report demonstrating whether contractor provided services using staff sufficient to meet program requirements as per matrix as previously determined prior to contract start in consultation with DOC

- Number of contractor staff and training/experience of each staff member

- Level of experience staff facilitating groups

- Supervision delivered, both administrative and clinical

Brief Narrative Analysis of whether organizational issues affected delivery of services e.g. staffing levels or credentials

External Facility/Other Providers Reports

Annual Summary to include: Offender Demographic Profile Report - A summary of offender demographics (age, sex, etc.), along with the program services delivered will be reported. Included in this report will be data specific to the populations.

The State reserves the right to request additional or different reporting information from the Contractor throughout the term of the contract, on either an ad hoc or regular basis.

Financial Reporting-

The Contractor will submit quarterly and annual financial statements, using State furnished templates, which specifically report the Contractor's performance under its contract with the Department. The statements will be prepared in accordance with generally accepted accounting procedures. In addition to the contract specific financial statements, the Contractor will also submit the entire organization's quarterly and annual financial statements. Final annual financial statements are due 90 days after the close of the contract period.

If the Contractor's financial statements are audited, and audited financials are not available by the submission deadline, interim financials will be accepted, with the understanding that audited financials will be sent to the Department upon completion.

Three months prior to the end of the initial contract term and each extension thereafter, the Contractor shall submit the next year's annual budget, including case load and service volume assumptions, annual cash plan and profit and loss statement to the State for review and approval for the following contract year

Performance Guarantees

Performance Guarantees will be assessed through either Contractor self report and/or determined through quarterly or as specified DOC audits.

Program Approval

The successful Candidate will maintain satisfactory site and supervision reports from the Approved CSC Site Supervisors. Failure to maintain satisfactory site and supervision reports may result in penalty.

Operational and Financial Reports

The contractor will be required to provide the required operational and financial reports within the prescribed time periods may result in a penalty of \$1,000.00 for each period the report is not received as due. Monthly reports will be submitted with invoice for the period invoiced.

The contractor will develop a program commitment plan that has goals which are measurable

and expressed in behavioral terms-failure to do so for each offender within 1 group meeting will result in a penalty of \$50.00/missing/incomplete treatment plan

PROPOSAL SUBMISSION REQUIREMENTS**Acceptance of Proposals**

Each proposer may submit one (1) proposal. Alternate proposals will not be allowed and will cause the rejection of the alternate proposal and any other proposal submitted by the proposer.

The State will accept all proposals properly submitted. After receipt of proposals, the State reserves the right to sign a contract, without negotiation, based on the terms, conditions, and premises of the RFP and the selected. The proposal and its conditions must remain valid for six (6) months from the date of proposal submission.

The State reserves the right to waive minor irregularities in proposals, providing such action is in the best interest of the State. Where the State may waive minor irregularities, such waiver shall in no way modify the RFP requirements or excuse the proposer from full compliance with RFP specifications and other contract requirements if the proposer is awarded the contract.

The State also reserves the right to request proposal clarification or correction, reject any or all proposals received, or cancel the procurement, according to the best interest of the State.

Cost of Preparing Proposals

All costs incurred by the proposers during the preparation of their proposals and for other procurement-related activities will be the sole responsibility of the proposers. The State will not reimburse the proposers for any such costs.

Disposition of Proposals

The successful proposal will be incorporated by reference into the resulting contract and will be a matter of public record. If the proposal includes material

that is considered by the proposer to be proprietary and confidential under Vermont law, the proposer shall clearly designate the material as such, explaining why such material should be considered confidential.

The proposer must identify each page or section of the proposal that it believes is proprietary and confidential, with sufficient grounds to justify each exemption from release, including the prospective harm to the competitive position of the proposer if the identified material were to be released. A general statement that an entire proposal is proprietary is not acceptable.

All material submitted by proposers becomes the property of the State of Vermont, which is under no obligation to return any material submitted by a proposer in response to this RFP. The State shall have the right to use all systems concepts, or adaptations of those ideas, contained in any proposal, and this right will not be affected by selection or rejection of the proposal.

Freedom of Information and Privacy Act

Proposers should be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act, the Privacy Act, and all rules, regulations, and interpretations of these Acts. By submission of a proposal, the proposer agrees that the Privacy Act of 1974, Public Law 93-579, and the Regulations and General Instructions issued pursuant thereto, are applicable to this contract, and to all subcontracts hereunder.

Vermont Tax ID Number

A Vermont business account tax number is required if the Contractor is a corporation or if the Contractor, under whatever form of business, has employees who are subject to Federal income tax withholding and who perform their services within the State of Vermont. Contracts cannot be executed without a Vermont Tax ID.

Use of Subcontractors

The prime Contractor will be responsible for all the work to be performed under this contract. Proposers must identify proposed subcontractors in their proposals, in the manner described within the proposal submission instructions.

Utilization of Small Business, Minority, and Woman-Owned Concerns

The State of Vermont and the Department of Corrections attempt to ensure that a fair portion of the purchases and contracts for supplies and services for the government should be placed with small business concerns. By the submission of a proposal, the proposer shall agree to accomplish the maximum amount of subcontracting to small business, minority, and woman-owned concerns that the Contractor finds to be consistent with the efficient performance of this contract.

Bid and Performance Bond Requirements

The selected Contractor must provide a performance bond of twenty five percent of the first year's contract amount within thirty days after notice of award. The performance bond may be in the form of a certified check made payable to the State of Vermont, or may be in the form of a surety bond from a company qualified to do business in the State of Vermont.

Submission Deadline and Address

Proposals are due no later than 3:30 pm, March 31, 2011. Contractors are encouraged to submit proposals prior to the deadline and to confirm the DOC's

receipt of their proposal sufficiently in advance of the deadline in order that alternative delivery arrangements may be made, if necessary.

Proposals should be delivered to:

Kim Bushey

Program Services

Department of Corrections

103 South Main Street

Waterbury, VT 05671

Proposers are solely responsible for ensuring the timely delivery of their proposals. All bids will be opened at 3:30 pm, March 31, 2011 at the Department of Corrections office in Waterbury in the 1st floor conference room. Any proposals delivered after the deadline, based on the time of delivery as determined by the DOC, will not be accepted.

Proposal Format

Proposals must be submitted on single-sided (8 ½" by 11") paper without permanent binding; loose-leaf binding is permissible. Any attachments or exhibits must be reduced to letter size. Ink and paper colors must not prevent the entire proposal from being photocopied. The use of divider tabs is required. Ring binders must be no longer than three (3) inches. If necessary, multiple volumes should be submitted.

Proposers must submit an original and four copies of the proposal plus one complete copy of the original on CD. The original should be clearly marked on the outside cover as such. All signatures in the original proposal must be in blue ink.

The outside cover of all packages containing the proposal should be marked:

DEPARTMENT OF CORRECTIONS PROPOSAL

RESPONSE TO COGNITIVE SELF CHANGE-FACILITIES RFP

(Name of Proposer)

TECHNICAL PROPOSAL

Contents

The technical proposal must consist of the following elements, in the order listed below:

Each section should be separately tabbed.

1. Transmittal Letter
2. Executive Summary
3. Corporate Background and Experience
4. References
5. Key Personnel
6. Core Network Composition
7. Innovative Reform Initiatives

Each of the major sections should be separately tabbed, for easy identification. Every page of the technical proposal must be numbered sequentially, including attachments and appendices.

Required Program Elements Described

Intake and Admission Process

- . Describe the proposer's process and timeframes for conducting the INTAKE

of all referred offenders. In the description, address all of the following:

- Credentials of personnel who will be responsible for conducting the
- Process and timeframe for performing preliminary program plan and issuing the report
- Process to ensure compliance with program policies
- Timeframe for completing treatment plans (in terms of days from admission)
- Mechanisms and criteria used to assess the offender's condition
- Collaboration with the DOC Supervising Officers

. Describe the proposer's process and timeframes for conducting offender homework, journal and major task reviews by program. In the description, address all of the following:

- Timeframes for completing treatment plan reviews (in terms of days from development of initial treatment plan, as well as any prior plan reviews)

. Describe how the proposer will address identify and develop program accommodation if indicated for participants with formal Adult Disability *Provider Network*

Describe how the proposer will clinically supervise its provider staff and monitor the timely provision of services.

. Describe how the proposer will ensure timely sharing of information between parties.

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Administrative Services

. Describe the proposer's capacity for furnishing or contracting for the specific services listed in the RFP.

Describe the proposer's policies and procedures with respect to the maintenance of clinical records for each offender. Also describe the proposer's policies and procedures with respect to maintaining the security and confidentiality of these records.

Describe the proposer's network credentialing process, including the specific items to be verified.

Describe the proposer's capacity and approach for submitting the specified operational data reports.

. Describe the proposer's information technology needs and approach.

Transmittal Letter

The Transmittal Letter must be signed in blue ink by an official of the bidding organization authorized to bind the organization to the provisions of the RFP and Proposal. The Transmittal Letter must include the following:

- A statement that the proposer has read, understands, and is able and willing to comply with all standards and participation requirements described in the RFP.
- A statement attesting to the accuracy and truthfulness of all information contained in the proposal.
- A statement that the proposal was developed independently, without collusion, conflict of interest, consultation, communications, or agreement for

the purpose of restricting competition, as to any matter relating to the proposal of any other proposer or competitor.

- A statement of Affirmative Action that the proposer does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, sexual orientation, marital status, political affiliation, national origin, or handicap and complies with all applicable provisions of Public Law 101-336, Americans with Disabilities Act.
- Identification of the person who will serve as primary contact for the State's Issuing Officer, and that person's address, telephone number and fax number.

Executive Summary

The Executive Summary should provide an overview of the proposing organization and a general description of the approach to meet the requirements of the RFP. The Executive Summary should be no longer than two single-spaced pages.

Corporate Background and Experience

The proposer should also provide a narrative description of its business (corporate) organizational structure and experience in providing substance abuse services to community-based offenders, as well as incarcerated populations within the United States. Members of any joint application shall also describe the experience of its member collaborators. As part of the description, the proposer should include a corporate organizational chart, showing the parent company and all subsidiaries, including the proposing organization (as applicable).

The proposer should further include an implementation plan describing the major activities to be performed, and their associated timelines. The implementation plan should demonstrate that the proposer would be able to meet all contractual requirements by the contract effective date. Its scope should include, but is not limited to:

- Hiring of key personnel
- Contracting with network providers
- Development of policies and procedures
- Development and testing of information systems
- Staff education and training
- Transition of responsibilities from current contractors

The corporate background and experience description, excluding attachments, should be no longer than two single-spaced pages. The implementation plan should be no longer than an additional four single-spaced pages, excluding attachments.

References

The proposer must include three business references that demonstrate the offeror's prior experience in the areas for which services are being offered. The proposer should identify the three references to be contacted on a separate page, being certain to include telephone and fax numbers for the contact person. For each reference, the proposer should list any personnel proposed for the Vermont DOC contract who worked for the reference client.

Key Personnel

The Proposer must identify those individual filling the following positions (as

applicable):

- Chief Executive Officer
- Chief Financial Officer

Program Administrator

The proposer should include job descriptions for each of the key personnel positions, placed behind the resumes. The descriptions should delineate educational, work experience, and licensure requirements, as applicable. For shared corporate and Vermont positions, the descriptions should clearly delineate how responsibility and authority are divided.

Core Network Composition

The proposer must provide evidence that it will be able to assemble a provider network capable of meeting the core requirements specified in the RFP. The proposer must list the specific providers for which it holds contracts or letters of intent.

The State recognizes that proposers may not be able to fully assemble the provider portion of the network prior to the proposal submission due date. If there are unfilled positions, the proposer should be certain to address its method and timetable for filling these positions as part of its implementation plan.

To the extent that proposers have contracted with providers, proposers must include a contract signature page, letter of intent, or evidence of employment for each of the providers listed. Proposers may format the letters of intent in any manner, as long as the language specifically references the DOC population as the group being served.

The proposer must also include in this section a model provider contract.

Innovative Reform Initiatives

Vermont DOC will consider innovative reform initiatives from proposers that advance the State's objectives for these programs. In particular, the State is interested in creative approaches for:

Proposers may include a description of suggested innovations in the final section of their proposals. This section is optional and need not be completed. Proposers submitting credible proposals will be eligible to receive bonus points in the evaluation.

PRICE PROPOSAL

General

The offeror's price proposal should be placed directly behind the technical proposal.

The price proposal form includes a space for recording corporate overhead costs. If the proposer includes corporate overhead costs, it must attach on separate paper an explanation of how these costs have been allocated to the Vermont program, and the portion of total overhead costs that they represent.

The proposer should further record on separate paper any other assumptions or explanations it considers important for understanding the cost proposal.

Proposals should not be qualified with "If...Then" statements. Price proposals with such qualifications will be subject to disqualification.

PROPOSAL EVALUATION

A contract award will be made to the proposer whose proposal is determined to be

the most advantageous to the State, taking into account price and other evaluation criteria as set forth in this RFP. Staff of other agencies and consultants may be involved in the evaluation of the proposals. The DOC reserves the right to reject any and all proposals submitted in response to this RFP.

During the evaluation process, proposers may be contacted for the purpose of obtaining clarification of their response. However, no clarification will be sought if a proposer completely fails to address a feature contained in the RFP document. If the failure was in response to a mandatory feature, the proposer may be disqualified.

Proposals will then be evaluated and weighted using the following distribution between technical and price:

Technical (including references): 30 percent

Clinical and Supervisory Plan: 40 percent

Price: 30 percent

As part of its evaluation, the State will conduct interviews with one or more proposers. In such an event, proposers may be required to travel to Vermont, at their own expense, to participate in an on-site interview. Conversely, the State may elect to travel to the offeror's headquarters to conduct the interview, as well as to tour its facilities.

Upon completion of the evaluation process the Commissioner of the Department of Corrections may select a proposer with which to negotiate a contract, based on the evaluation findings and other such criteria as deemed relevant for ensuring that the decision is made in the best interest of the State. In the event the State is successful in negotiating with the proposer, the State will issue a notice of award. In the event the State is not successful in negotiating a contract with this proposer, the State reserves the option of negotiating with another proposer. The State may also cancel the procurement and make no award, if that is determined to be in the State's best interest.

PROCUREMENT DETAIL

Contract Term

The initial contract will run for two years- from June 1, 2011 to May 31, 2013. There will be an opportunity for two extension up to two years, to be exercised at the State's option.

Contract Payment Provisions

The proposer will describe in detail its financial requirements. That description will include a copy of the applicant's pay schedule for all employees associated with the contract. A budget will be submitted that will show all funds requested by function or cost center. All administrative and support costs will be specifically delineated. The proposer may request reimbursement in the form of fees, guarantees and indirect costs.

Three months prior to the end of the initial contract term and each extension thereafter, the Contractor shall submit the next year's annual budget, including case load and service volume assumptions, annual cash plan and profit and loss statement to the State for review and approval for the following contract year.

Point of Contact

All questions regarding this RFP should be submitted in writing (mail or fax)

to:

Kim Bushey

Program Services

Department of Corrections

103 South Main Street

Waterbury, Vermont 05671

Fax: 802/241-2215

Email: Kim.Bushey@ahs.state.vt.us

Proposers or potential proposers are prohibited from initiating any communication with any State staff concerning this RFP, except as specified in this RFP or as provided by existing contract agreements. The Vermont DOC reserves the right to reject the proposals of any violators.

Bidder's Conference

Prospective proposers will have an opportunity to ask questions regarding this procurement at a bidder's conference scheduled for 10:30 am, March 11, 2011.

The conference will be held at the following location:

Chapel Conference Room

State Office Complex

103 So. Main St.

Waterbury, VT 05671

Attendance at the bidder's conference is not mandatory. Each prospective proposer may bring up to three representatives to the conference. The conference is intended to be an interactive exchange of information, with appropriate State staff on-hand to provide clarification and/or answers to questions. Ms. Bushey will collect questions and the written responses will be posted on the DOC website. Final questions are due no later than March 7, 2011.

Customary State Contract Provisions

Appendix 5.1 contains a listing of customary state contract provisions. The list is not intended to be exhaustive. The complete set of contract provisions will be delineated in a draft contract issued to the selected proposer at the time of award.

Supporting Documentation

The RFP contains appendices with information concerning the existing program in Vermont. Specifically:

- ☐ Customary state contract provisions

RFP Amendments

The State reserves the right to amend the RFP at any time prior to the proposal due date by issuing written addenda. All written addenda to the RFP will become part of the contract. Answers to bidder's conference questions will be considered addenda to the RFP.